



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/762,991	01/21/2004	Julio P. Focaracci	5280	5993

22896 7590 04/30/2007
MILA KASAN, PATENT DEPT.
APPLIED BIOSYSTEMS
850 LINCOLN CENTRE DRIVE
FOSTER CITY, CA 94404

EXAMINER

SISSON, BRADLEY L

ART UNIT	PAPER NUMBER
----------	--------------

1634

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	04/30/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

<p align="center">Office Action Summary</p>	<p>Application No.</p> <p align="center">10/762,991</p>	<p>Applicant(s)</p> <p align="center">FOCARACCI ET AL.</p>	
	<p>Examiner</p> <p align="center">Bradley L. Sisson</p>	<p>Art Unit</p> <p align="center">1634</p>	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 13 February 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-32 is/are pending in the application.
- 4a) Of the above claim(s) 2 and 7 is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-6 and 23-32 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 21 January 2004 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Drawings

1. New corrected drawings in compliance with 37 CFR 1.121(d) are required in this application because the drawings submitted on 21 January 2004 have been found to not contain elements specifically identified in the body of the disclosure. It is noted with particularity that paragraph [040], as found at page 12 of the disclosure makes reference to Figures 2A-2C as providing for element 43. A review of said figures fails to find element 43. Applicant is advised to employ the services of a competent patent draftsman outside the Office, as the U.S. Patent and Trademark Office no longer prepares new drawings. The corrected drawings are required in reply to the Office action to avoid abandonment of the application. The requirement for corrected drawings will not be held in abeyance.

Claim Rejections - 35 USC § 112

2. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

3. Claims 1-6 and 23-32 remain rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter, which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

Art Unit: 1634

As set forth in *Enzo Biochem Inc., v. Calgene, Inc.* (CAFC, 1999) 52 USPQ2d at 1135, bridging to 1136:

To be enabling, the specification of a patent must teach those skilled in the art how to make and use the full scope of the claimed invention without 'undue experimentation.' " *Genentech, Inc. v. Novo Nordisk, A/S*, 108 F.3d 1361, 1365, 42 USPQ2d 1001, 1004 (Fed. Cir. 1997) (quoting *In re Wright*, 999 F.2d 1557, 1561, 27 USPQ2d 1510, 1513 (Fed. Cir. 1993)). Whether claims are sufficiently enabled by a disclosure in a specification is determined as of the date that the patent application was first filed, see *Hybritech, Inc. v. Monoclonal Antibodies, Inc.*, 802 F.2d 1367, 1384, 231 USPQ 81, 94 (Fed. Cir. 1986).... We have held that a patent specification complies with the statute even if a "reasonable" amount of routine experimentation is required in order to practice a claimed invention, but that such experimentation must not be "undue." See, e.g., *Wands*, 858 F.2d at 736-37, 8 USPQ2d at 1404 ("Enablement is not precluded by the necessity for some experimentation However, experimentation needed to practice the invention must not be undue experimentation. The key word is 'undue,' not 'experimentation.' ") (footnotes, citations, and internal quotation marks omitted). In *In re Wands*, we set forth a number of factors which a court may consider in determining whether a disclosure would require undue experimentation. These factors were set forth as follows: (1) the quantity of experimentation necessary, (2) the amount of direction or guidance presented, (3) the presence or absence of working examples, (4) the nature of the invention, (5) the state of the prior art, (6) the relative skill of those in the art, (7) the predictability or unpredictability of the art, and (8) the breadth of the claims. *Id.* at 737, 8 USPQ2d at 1404. We have also noted that all of the factors need not be reviewed when determining whether a disclosure is enabling. See *Amgen, Inc. v. Chugai Pharm. Co., Ltd.*, 927 F.2d 1200, 1213, 18 USPQ2d 1016, 1027 (Fed. Cir. 1991) (noting that the *Wands* factors "are illustrative, not mandatory. What is relevant depends on the facts.").

The quantity of experimentation necessary

The quantity of experimentation necessary to practice the full scope of the invention is great, on the order of several man-years with little if any reasonable expectation of success.

It is noted that co-applicant Julio P. Focaracci did not traverse this aspect of the rejection in the Rule 132 declaration received 13 February 2007.

The amount of direction or guidance presented,

Art Unit: 1634

The guidance provided is very limited. A review of the disclosure finds numerous forward-looking statements as to what could be possible, and what one may be able of achieving, however, the specification is essentially silent as to just how any size moat in any porous material, is to be fabricated.

It is noted that co-applicant Julio P. Focaracci did not traverse this aspect of the rejection in the Rule 132 declaration received 13 February 2007.

The presence or absence of working examples

There are no examples.

Declarant/co-inventor Focaracci asserts that the application does contain examples of what can be used, not that there are examples of the claimed method. It is noted with particularity that the elected invention is not drawn to products or compositions of matter but rather, are drawn to "method for preparing a substrate for hybridization."

Declarant/co-inventor Focaracci identifies various "laser-making products" and asserts that each of the listed products "is accompanied with guidelines from the manufacturer for processing various materials." (Declaration at paragraph 7.) This argument has been fully considered and has not been found persuasive towards the withdrawal of the rejection. It is noted with particularity that the remarks offered are conclusory in nature and void of any factual underpinning. No showing has been made that any one, much less all of the identified "laser-making products" is accompanied with guidelines. Further, no showing has been made that the guidelines, even if provided, teach how to make a moat in any and all manner of porous materials. This last aspect is of import as claims 1, 2, 4-6 and 23-32 are not limited to any

Art Unit: 1634

particular type of “porous material,” substrate, gasket materials, adhesive, or to the use of any type or combination of lasers.

In addition to enabling the making of the invention, the disclosure must also enable the use of the final product. The specification is essentially silent as to how the resultant product is to be used in a method that satisfies the utility requirements of 35 USC 101.

It appears that applicant is attempting to satisfy the requirement of 35 USC 112, first paragraph, through obviousness. Obviousness, however, cannot be relied upon for satisfaction of the written description requirement. In support of this position, attention is directed to the decision in *University of California v. Eli Lilly and Co.* (Fed. Cir. 1997) 43 USPQ2d at 1405, citing *Lockwood v. American Airlines Inc.* (Fed. Cir. 1997) 41 USPQ2d at 1966:

Recently, we held that a description which renders obvious a claimed invention is not sufficient to satisfy the written description requirement of that invention.

The nature of the invention

The invention relates to solid supports used in the production of biochemical arrays, which in turn are to be “for hybridization.”

The method does not require the porous layer to be affixed to the substrate.

The state of the prior art/The predictability or unpredictability of the art

The art to which the invention relates, i.e., nucleic acid array art and hybridization art, has advanced to the point that certain problematic areas have been identified. In support of this position as it relates to the manufacture and use of oligonucleotide arrays, US Patent 6,077,674 (Schleifer et al.) addresses certain highly problematic areas:

While in situ synthesis is a very flexible means for producing DNA arrays, the fidelity or percentage of full-length oligonucleotides synthesized within a feature on the array is less than 100 percent. An ideal array will have only full-length oligonucleotides attached to each feature. The ideal array promotes accuracy in hybridization experiments or assays or target biological materials. If the fidelity of an in situ generated array is less than 100 percent, it typically has non full-length oligonucleotides within a feature that usually consists of shorter lengths of the correct sequence, and to a lesser degree, incorrect sequences. Typical DNA coupling efficiencies are around 97 to 99 percent for the standard phosphoramidite chemistry. For oligonucleotides that are 25 nucleotides in length, these efficiencies result in only 46 to 77 percent full-length oligonucleotides contained within a feature (0.97^{25} to 0.99^{25}). This loss of fidelity can cause chemical noise in hybridization conditions. The loss of fidelity can also lead to difficulty in interpreting the data.

Photolithography is a method used by Affymetrix in California to produce in situ arrays using procedures that are similar to those used in the semi-conductor industry. In procedure described by Fodor et al. from Affymetrix U.S. Pat. No. 5,405,783, a photo-deprotection step is used where the protecting group on the phosphoramidite is removed by exposing a photosensitive protecting group to light. Four photo masks are used to create patterns to de-protect areas of the substrate and then a nucleotide is added to these regions. This technique requires four masks for each layer of nucleotides. While this technique allows for the production of high-density oligonucleotide arrays, it is less efficient than traditional phosphoramidite synthesis chemistry. With efficiencies of about 90 to 95 percent, the percentage of full-length oligonucleotides within a feature is further reduced to about 9 to 27 percent for oligonucleotides that are 25 nucleotides long (0.90^{25} to 0.95^{25}).

Carrico, (US Patent 5,200,313) similarly identifies problematic aspects of hybridization reactions:

1. The purity of the nucleic acid preparation.
2. Base compositions of the probe - G-C base pairs will exhibit greater thermal stability than A-T or A-U base pairs. Thus, hybridizations involving higher G-C content will be stable at higher temperatures.
3. Length of homologous base sequences- Any short sequence of bases (e.g., less than 6 bases), has a high degree of probability of being present in many nucleic acids. Thus, little or no

specificity can be attained in hybridizations involving such short sequences. From a practical standpoint, a homologous probe sequence will often be between 300 and 1000 nucleotides.

4. Ionic strength- The rate of reannealing increases as the ionic strength of the incubation solution increases. Thermal stability of hybrids also increases.

5. Incubation temperature- Optimal reannealing occurs at a temperature about 25 - 30 °C below the melting temperature for a given duplex. Incubation at temperatures significantly below the optimum allows less related base sequences to hybridize.

6. Nucleic acid concentration and incubation time- Normally, to drive the reaction towards hybridization, one of the hybridizable sample nucleic acid or probe nucleic acid will be present in excess, usually 100 fold excess or greater.

7. Denaturing reagents- The presence of hydrogen bond-disrupting agents, such as formaldehyde and urea, increases the stringency of hybridization.

8. Incubation- The longer the incubation time, the more complete will be the hybridization.

9. Volume exclusion agents- The presence of these agents, as exemplified by dextran and dextran sulfate, are thought to increase the effective concentrations of the hybridizing elements thereby increasing the rate of resulting hybridizations.

Further, subjecting the resultant hybridization product to repeated washes or rinses in heated solutions will remove non-hybridized probe. The use of solutions of decreasing ionic strength, and increasing temperature, e.g., 0.1X SSC for 30 minutes at 65 °C, will, with increasing effectiveness, remove non-fully complementary hybridization products.

Art Unit: 1634

At column 40 of Jones (US Patent 5,858,671) the inherent obstacle in synthesizing oligonucleotide arrays is disclosed. As stated therein, "that even if the constituent enzymatic steps approach 100% completion, incompletely processed products can accumulate to significant levels. For example, during oligonucleotide synthesis of a 70-mer, requiring 69 couplings, a 99% coupling efficiency results in only 50% of the generated oligonucleotides being full length ($0.99^{69} = 0.50$).” In the present case, applicant is claiming a product that would be the result of an infinite number of couplings, not just 69 as described above.

The breadth of the claims

The invention encompasses the production of hybridization substrates of virtually any size and dimension, ranging from mesoscale devices, which are on the order of nanometers in length and width, to substrates that are many inches or feet in length and/or width. The moat that is to be collapsed into a porous layer is not required to be affixed to the underlying support. The method requires no feedback or other forms of control so to ensure that the moat does not become a channel that bisects the array, or creates a fluid channel extending on off through the edge of the support, and through which reactants may flow away from the array on the substrate, thereby lending to erroneous results and inoperable devices.

As presently worded, the method of claims 1-5, 23, 24, 26, 28 and 29 do not require the resultant product actually comprise any array, much less an array of any particular biochemical. The specification is silent as to how one is to use a support that comprises a moat in a porous layer in a hybridization reaction when no biopolymer is present.

Art Unit: 1634

In accordance with claims 6, 25, and 30-32, an array is present, but the claims do not recite any limitations as to what class of compounds the array is comprised of.

At page 2, paragraph 8, of the declaration, declarant/co-inventor makes assertions regarding claim 2, and the prior requirement of “collapsing the moat.” This argument has not been found persuasive as claim 1, from which claims 2 and 3 depend, has been amended so to no longer refer to the “collapsing of the moat,” but does now refer to collapsing of the porous layer.

At page 3, paragraph 8, of the declaration, declarant/co-inventor asserts “the claims as amended make clear that the porous layer is coupled to the substrate.” This argument has not been found persuasive, as claims 1-3, 6, and 30-32 do not require the porous layer and/or moat be coupled to the substrate.

At page 3, paragraph 9, of the declaration, declarant/co-inventor makes conclusory remarks as to the sufficiency of the disclosure, which are “based on [his] experience.” This argument has been fully considered and has not been found persuasive towards the withdrawal of the rejection of claims under 35 USC 112, first paragraph. It is noted that there was no supporting evidence upon which this conclusion was based. Attention is directed to MPEP 2164.05, which states in part:

The weight to give a declaration or affidavit will depend upon the amount of factual evidence the declaration or affidavit contains to support the conclusion of enablement. *In re Buchner*, 929 F.2d 660, 661, 18 USPQ2d 1331, 1332 (Fed. Cir. 1991) (“expert’s opinion on the ultimate legal conclusion must be supported by something more than a conclusory statement”).

Art Unit: 1634

For the above reasons, and in the absence of convincing evidence to the contrary, claims 1-6 and 23-32 remain rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement.

4. Claims 1-6 and 23-32 remain rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter, which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

5. Attention is directed to the decision in *University of Rochester v. G.D. Searle & Co.* 68 USPQ2D 1424 (Fed. Cir. 2004) at 1428:

To satisfy the written-description requirement, the specification must describe every element of the claimed invention in sufficient detail so that one of ordinary skill in the art would recognize that the inventor possessed the claimed invention at the time of filing. *Vas-Cath*, 935 F.3d at 1563; see also *Lockwood v. American Airlines, Inc.*, 107 F.3d 1565, 1572 [41 USPQ2d 1961] (Fed. Cir. 1997) (patent specification must describe an invention and do so in sufficient detail that one skilled in the art can clearly conclude that “the inventor invented the claimed invention”); *In re Gosteli*, 872 F.2d 1008, 1012 [10 USPQ2d 1614] (Fed. Cir. 1989) (“the description must clearly allow persons of ordinary skill in the art to recognize that [the inventor] invented what is claimed”). Thus, an applicant complies with the written-description requirement “by describing the invention, with all its claimed limitations, not that which makes it obvious,” and by using “such descriptive means as words, structures, figures, diagrams, formulas, etc., that set forth the claimed invention.” *Lockwood*, 107 F.3d at 1572.

6. A review of the disclosure fails to find where any substrate for any hybridization has been made, much less been used in any hybridization reaction. Further, the specification has not been found to set forth in such full, clear, and concise language just how the claimed method is to be practiced where the substrate can be of virtually any dimension, and the substrate

Art Unit: 1634

materials be of virtually composition. It appears that applicant is attempting to satisfy the written description requirement of 35 USC 112, first paragraph, through obviousness. Obviousness, however, cannot be relied upon for satisfaction of the written description requirement. In support of this position, attention is directed to the decision in *University of California v. Eli Lilly and Co.* (Fed. Cir. 1997) 43 USPQ2d at 1405, citing *Lockwood v. American Airlines Inc.* (Fed. Cir. 1997) 41 USPQ2d at 1966.

Recently, we held that a description which renders obvious a claimed invention is not sufficient to satisfy the written description requirement of that invention.

7. For the above reasons, and in the absence of convincing evidence to the contrary, claims 1-6 and 23-32 remain rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement.

8. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

9. Claims 1-4, 6, 24, and 30-31 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

10. As a result of the amendment of 13 February 2007, claim 1 has been amended so to recite "coupling the porous layer on the substrate." It is unclear to what the porous layer is being coupled. While it is "on" the substrate, such does not necessarily require that it also be coupled to same. Claims 2 and 3, which depend from claim 1, fail to overcome this issue and are similarly rejected.

Art Unit: 1634

11. Attention is directed to MPEP 904.01.

The breadth of the claims in the application should always be carefully noted; that is, the examiner should be fully aware of what the claims do not call for, as well as what they do require. During patent examination, the claims are given the broadest reasonable interpretation consistent with the specification. See *In re Morris*, 127 F.3d 1048, 44 USPQ2d 1023 (Fed. Cir. 1997). See MPEP § 2111 - § 2116.01 for case law pertinent to claim analysis.

12. Claim 1 is confusing where in line 6 the term "bound" is used. The use of the past tense of bind effectively renders the claim nonsensical.

13. Claim 2 is indefinite with respect to what constitutes "substantially heating."

14. Acknowledgement is made of applicant having amended claim 4 so to correct for the aspect of "collapsing a moat." As a result of the amendment, claim 24, which depends from claim 4, now lacks antecedent support for "the collapsing of the moat." Similar issues of definiteness exist with respect to claim 6, which also requires one to collapse the moat, as opposed to collapsing the porous layer so to form the moat. Claims 30-32, which depend from claim 6, fail to overcome this issue and are similarly rejected.

Conclusion

15. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

16. A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period

Art Unit: 1634

will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

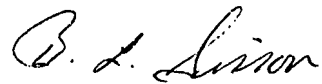
17. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Bradley L. Sisson whose telephone number is (571) 272-0751. The examiner can normally be reached on 6:30 a.m. to 5 p.m., Monday through Thursday.

18. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ram Shukla can be reached on (571) 272-0735. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

19. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would

Art Unit: 1634

like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

A handwritten signature in black ink, appearing to read "B. L. Sisson".

Bradley L. Sisson
Primary Examiner
Art Unit 1634

BLS